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DD/A Registry

78-3658

20 SEP 1978

DD/A Registry

File Personnel-12

MEMORANDUM FOR: Deputy Director of Central Intelligence

FROM : F. W. M. Janney
Director of Personnel

SUBJECT : Performance Appraisal System

1. Action Requested: None. The attached memorandum for your signature and the performance evaluation material are forwarded in response to your request of 13 September 1978.

2. Attachment A is the memorandum to the Secretary, Executive Advisory Group advising of your review of the Performance Evaluation Task Force Report and your proposals for substantive inclusions in the revised format. This memorandum requires a response from the members of the Executive Advisory Group by 27 September.

3. Forwarded as Attachment B is a copy of the draft of a revised Performance Appraisal Report which we have had in process using the Task Force recommendations as guidance. We have added two sections to the draft to provide for your proposals for the work planning section and the evaluation of potential. Included with the draft is a seven point rating scale with descriptive definitions. This is a working paper, not a finalized product.

4. For ease of review in considering the comments of the Heads of the Career Services on the Task Force recommendations, included as Attachment C is a matrix of the recommendations and responses. The majority of the recommendations were accepted by all components. The only recommendation on which there are strong differences is the one which would prohibit informal input to panel deliberations. While related, this is not a basic part of the Performance Appraisal system substance or format. The requirement for documentation of the informal interim review was also a point of difference but not as strong as on panel input. Minor areas of difference were the use of the seven point scale, justification of the individual ratings and the option of the Career Service to have an addendum to cover evaluation

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elements which are of concern only to that component. The recommendation for the optional LOI, under agreed-to ground rules, was endorsed by all components except NFAC, which supports a mandatory program.

(SIGNED) F. W. M. Jarney

F. W. M. Jarney

Atts.
As Stated

Distribution:

- Orig - DDCI, w/atts.
- 1 - ER, w/atts.
- 2 - DDA, w/atts.
- 2 - D/Pers, w/atts.
- 1 - OP/RS, w/atts.

STATINTL OP/P&C/RS/ [REDACTED] cnc (18 Sep 78)

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MEMORANDUM FOR: Secretary, Executive Advisory Group

FROM : Frank C. Carlucci
Deputy Director of Central Intelligence

SUBJECT : Performance Appraisal System

1. I have now reviewed the Performance Evaluation Task Force Report, the individual Career Service sections of the report and the Heads of Career Service comments on the report. The following proposals concerning the principles of the system and the format of the form reflect most of the Task Force recommendations with which you were in agreement. I have included two additional elements for consideration. Whereas the Task Force dealt with work planning in the context of the existing LOI concept and recommended collaborative work planning where LOI's are not used, I believe that work planning should be an integral part of the new appraisal form. The second is the incorporation of evaluation of employee potential into the report itself.

2. I believe the new Performance Appraisal Report should include in its format the following substantive features:

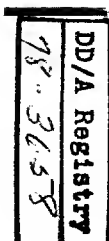
Revised 6-1

a. A stated work plan should be the first page of the report, establishing a basis for the subsequent performance appraisal. It should be formulated by the supervisor and the rated employee and list the specific objectives and goals in priority order.

b. This should be followed by an appraisal of the performance of the listed specific duties against the seven point scale (the seven point scale is only significant in that it is different from the present point spread and should be changed again in 3-5 years).

c. Supervisors should be rated on their managerial ability, their ability to effectively communicate requirements and expectations, to candidly appraise the performance of subordinates, to help subordinates improve performance and develop potential.

d. The supervisor's narrative comments should justify by amplification or explanation the ratings given for specific duties. Significant strengths and weaknesses demonstrated in the employee's performance should be commented on and include any suggestions for improving work performance.



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e. The overall performance rating should represent an evaluation of the total performance of the employee, not just an averaging of the individual ratings.

f. Following the performance appraisal there should be a space for employee comments and a certification that the employee has had a discussion of the appraisal with the supervisor.

g. The reviewer's comments should address, in addition to the appraisal, the reviewing official's perspective of the employee's overall performance.

h. Included in the format and supplemental to the performance appraisal should be an evaluation of the employee's potential. The evaluation should be by the employee's supervisor and relate to those positions that fall within the area of the supervisor's authority.

3. I will appreciate the comments of the EAG members on these proposals to reach me by 27 September 1978. This will be an item for discussion on the 30 September 1978 meeting at the [REDACTED]

STATINTL

Frank C. Carlucci

Distribution:

Orig - Adse
1 - DDCI
1 - ER
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1 - DDS&T
1 - General Counsel
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1 - Comptroller
1 - [REDACTED]
1 - EAG subject file
2 - D/Pers
1 - OP/P&C

ORIGINATOR:

(Signed) F. W. H. [REDACTED]

Director of Personnel

OP/P&C/RS/[REDACTED] cmc (18 Sep 78)

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ANNUAL WORK PLAN

GENERAL INFORMATION

EMPLOYEE NUMBER	NAME (Last, first, middle)	GRADE	SD
OFFICIAL POSITION TITLE	OFF/DIV/BR OF ASSIGNMENT	CURRENT STATION	

A. EMPLOYEE'S JOB - State briefly where the position fits in the staffing pattern and if appropriate the number and type of employees supervised by this employee.

B. WORK OBJECTIVES, GOALS AND PRIORITIES - List the specific objectives and goals, in priority order, formulated by the supervisor and the employee.

PERIOD COVERED

SIGNATURE OF EMPLOYEE (Name typed)

SIGNATURE OF SUPERVISOR (Name typed)

TITLE

GRADE

DATE

TITLE

GRADE

DATE

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PERFORMANCE APPRAISAL REPORT													
SECTION A GENERAL INFORMATION													
1. EMPLOYEE NUMBER		2. NAME (Last, First, middle)					3. GRADE		4. SD				
5. POSITION TITLE				6. OFF/DIV/BA OF ASSIGNMENT			7. STATION		8. CODE (Ck. 1)				
									HQS. DF				
9. TYPE OF APPOINTMENT				10. TYPE OF REPORT									
CAREER		RESERVE		TEMPORARY		1. TRIAL (CIRCLE NO.)		ANNUAL		REASSIGNMENT		OTHER	
CONTRACT		SPECIAL		OTHER		11. REPORTING PERIOD (FROM-TO)				12. DATE REPORT DUE IN O.P.			
SECTION B QUALIFICATIONS UPDATE													
										YES		NO	
Is Qualifications Update Form being submitted with changes, and is it attached to this report?													
SECTION C PERFORMANCE APPRAISAL RATING DEFINITIONS													
1													
2													
3													
4													
5													
6													
7													
SECTION D SPECIFIC DUTIES													
List up to six of the most important specific duties performed during the rating period. Insert rating which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).													
SPECIFIC DUTY NO. 1										RATING NUMBER			
SPECIFIC DUTY NO. 2										RATING NUMBER			
SPECIFIC DUTY NO. 3										RATING NUMBER			
SPECIFIC DUTY NO. 4										RATING NUMBER			
SPECIFIC DUTY NO. 5										RATING NUMBER			
SPECIFIC DUTY NO. 6										RATING NUMBER			

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SECTION E

SUPERVISOR'S COMMENTS

Amplify or explain the individual ratings given for specific duties in Section D. Indicate significant strengths or weaknesses demonstrated and any suggestions made for improvement of work performance. Give recommendations for training. See attached instructions for required comments on: cost consciousness, EEO, safety, security, and evaluation of supervisors. If extra space is needed, use Section H.

SECTION F

OVERALL PERFORMANCE RATING

The overall performance rating should take into account everything about the employee which influences effectiveness. See attached instructions for details.

RATING
NUMBER

SECTION G

CERTIFICATION AND COMMENTS

1. BY SUPERVISOR

MONTHS EMPLOYEE HAS BEEN IN
THIS POSITION _____

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

MONTHS UNDER MY SUPERVISION _____

DATE

TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

2. BY EMPLOYEE (OPTIONAL)

EMPLOYEE'S SELF APPRAISAL OF PERFORMANCE, COMMENTS REGARDING SUPERVISOR'S EVALUATION, REVIEWER'S COMMENTS OR BOTH. IF EXTRA SPACE IS NEEDED, USE SECTION II.

I CERTIFY THAT I HAVE HAD A DISCUSSION OF THIS REPORT WITH MY SUPERVISOR.

DATE

SIGNATURE OF EMPLOYEE

3. BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL. IF EXTRA SPACE IS NEEDED, USE SECTION H.

DATE

TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

4 BY EMPLOYEE

I CERTIFY THAT I HAVE READ THE REVIEWER'S COMMENTS.

DATE

SIGNATURE OF EMPLOYEE

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IF ADDITIONAL SPACE IS NEEDED, ATTACH A SEPARATE SHEET.

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EVALUATION OF POTENTIAL

A. CHECK ONE /

- ☐ Employee lacks the potential to assume greater responsibility.
- ☐ It is too soon to judge when the employee may be ready to assume a higher level of responsibility.
- ☐ Employee has the potential to assume greater responsibility with additional training or experience.
- ☐ Employee is entirely capable of assuming greater responsibility as soon as the opportunity occurs.
- ☐ Employee should be considered for rapid advancement to positions of much greater responsibility, with the expectation that the employee will rise to the highest levels of the organization.

B. DISCUSSION OF POTENTIAL (Justify your choice above. State the qualities of the work performance that best demonstrate a capacity for growth and advancement, or the lack thereof, support with examples.)

SIGNATURE OF SUPERVISOR (Name typed):

DATE:

I NSTRUCTION
SHEET FOR PREPARATION
OF APPRAISAL REPORT
WILL BE ATTACHED TO THE
FORM AS A TEAR OFF SHEET

SEVEN POINT SCALE PERFORMANCE DEFINITIONS

1. Constant supervision and direction are required to keep efforts focused on assigned tasks; efforts are not sufficient to complete work on time; performance quality consistently falls short of formulated expectations.
2. Continual supervision and direction are required to keep efforts focused on assigned tasks; work is frequently late and frequently falls short of formulated expectations.
- 3.
4. Applies required efforts to assigned tasks under routine supervision and direction; uses standard approaches to tasks so that tasks are completed on time; work produced meets formulated expectations.
- 5.
6. Usually applies efforts to priority elements of assigned tasks and requires moderate supervision and direction; uses effective approaches to tasks so that tasks are frequently completed ahead of deadlines; work produced sometimes exceeds formulated expectations.
7. Consistently applies efforts to priority elements of assigned tasks while requiring little if any supervision and direction; uses most effective, often new, approaches to tasks so that tasks are completed well ahead of deadlines; work produced consistently exceeds formulated expectations.

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Responses to Performance Evaluation Task Force Recommendations

Recommendations		DDA	DDO	DDS&T	E	NFAC	Totals	
							Y	N
II A.								
Change title	(1)	Y	Y	Y	Y	Y	100%	
7 pt. numeric scale	(2)	Y	Y	Y	N	Y	80%	20%
Rating supervisor's skills	(3)	Y	Y	Y	Y	Y+	100%	
Reword employee certification	(4)	Y	Y	Y	Y	Y+	100%	
Justify ratings	(5)	Y	Y	N	Y	Y+	80%	20%
Space for employee comment	(6)	Y	Y	Y	Y	Y	100%	
Relocate overall rating	(7)	Y	Y	Y	Y	Y	100%	
Reviewer's own overall assessment	(8)	Y	Y	Y	Y	Y	100%	
Panel info; prohibit informal	(9)	Y+	N-	N	Y+	Y+	60%	40%
Large print	(10)	Y	Y	Y	Y	Y	100%	
Optional Career Service								
1 page addendum	B.	N	Y	Y	Y	Y	80%	20%
Informal interim review	C.	Y	Y	N	N	Y	60%	40%
III A.								
Performance appraisal workshop (how to)	(1)	Y	Y	Y	Y	Y	100%	↑
Team building implementation training & familiarization	(2)	Y	Y	Y	Y	Y	100%	
Monitor program	B.	Y	Y	Y	Y	Y	100%	
LOI optional by Career Service		Y	Y	Y	Y	N	80%	↓ 20%

Y = yes; N = no; Y+ & N- = emphatic response

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PERIOD COVERED

SIGNATURE OF EMPLOYEE (Name typed) SIGNATURE OF SUPERVISOR (Name typed)

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PERFORMANCE APPRAISAL REPORT

SECTION A

GENERAL INFORMATION

1. EMPLOYEE NUMBER	2. NAME (Last, First, Middle)	3. GRADE	4. SD
5. POSITION TITLE	6. OFF/DIV/BA OF ASSIGNMENT	7. STATION	8. CODE (Ch. 1) HQS. DF
9. TYPE OF APPOINTMENT		10. TYPE OF REPORT	
CAREER	RESERVE	TEMPORARY	11. REPORTING PERIOD (FROM-TO)
CONTRACT	SPECIAL	OTHER	12. DATE REPORT DUE IN O.P.

SECTION B

QUALIFICATIONS UPDATE

YES ☐ NO ☐

Is Qualifications Update Form being submitted with changes, and is it attached to this report?

SECTION C

PERFORMANCE APPRAISAL RATING DEFINITIONS

1
2
3
4
5
6
7

SECTION D

SPECIFIC DUTIES

List up to six of the most important specific duties performed during the rating period. Insert rating which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).

SPECIFIC DUTY NO. 1

RATING
NUMBER

SPECIFIC DUTY NO. 2

RATING
NUMBER

SPECIFIC DUTY NO. 3

RATING
NUMBER

SPECIFIC DUTY NO. 4

RATING
NUMBER

SPECIFIC DUTY NO. 5

RATING
NUMBER

SPECIFIC DUTY NO. 6

RATING
NUMBER☐ SECRET☐ CONFIDENTIAL☐ INTERNAL USE
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SECTION E

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DATE

TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

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2. BY EMPLOYEE (OPTIONAL)

EMPLOYEE'S SELF APPRAISAL OF PERFORMANCE, COMMENTS REGARDING SUPERVISOR'S EVALUATION,
REVIEWER'S COMMENTS OR BOTH. IF EXTRA SPACE IS NEEDED, USE SECTION H.

I CERTIFY THAT I HAVE HAD A DISCUSSION OF THIS
REPORT WITH MY SUPERVISOR,

DATE

SIGNATURE OF EMPLOYEE

3. BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL. IF EXTRA SPACE IS NEEDED, USE SECTION H.

DATE

TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

4 BY EMPLOYEE

I CERTIFY THAT I HAVE READ THE REVIEWER'S
COMMENTS.

DATE

SIGNATURE OF EMPLOYEE

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- ☐ Employee should be considered for rapid advancement to positions of much greater responsibility, with the expectation that the employee will rise to the highest levels of the organization.

B. DISCUSSION OF POTENTIAL (Justify your choice above. State the qualities of the work performance that best demonstrate a capacity for growth and advancement, or the lack thereof, support with examples.)

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